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NOTICE OF ALLOWANCE AND FEE(S) DUE

53787 7590 03/07/2008

ASSET TRUST, INC.
2020 MALTBY ROAD
SUITE 7362
BOTHELL, WA 98021

EXAMINER

HOLMES, MICHAEL B

ART UNIT

PAPER NUMBER

2129

DATE MAILED: 03/07/2008

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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10/717,026

11/19/2003

Jeff Scott Eder

VM-57

7325

TITLE OF INVENTION: ENTITY CENTRIC COMPUTER SYSTEM

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	YES	\$720	\$300	\$0	\$1020	06/09/2008

THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. PROSECUTION ON THE MERITS IS CLOSED. THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.

THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. THIS STATUTORY PERIOD CANNOT BE EXTENDED. SEE 35 U.S.C. 151. THE ISSUE FEE DUE INDICATED ABOVE DOES NOT REFLECT A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE IN THIS APPLICATION. IF AN ISSUE FEE HAS PREVIOUSLY BEEN PAID IN THIS APPLICATION (AS SHOWN ABOVE), THE RETURN OF PART B OF THIS FORM WILL BE CONSIDERED A REQUEST TO REAPPLY THE PREVIOUSLY PAID ISSUE FEE TOWARD THE ISSUE FEE NOW DUE.

HOW TO REPLY TO THIS NOTICE:

I. Review the SMALL ENTITY status shown above.

If the SMALL ENTITY is shown as YES, verify your current SMALL ENTITY status:

A. If the status is the same, pay the TOTAL FEE(S) DUE shown above.

B. If the status above is to be removed, check box 5b on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and twice the amount of the ISSUE FEE shown above, or

If the SMALL ENTITY is shown as NO:

A. Pay TOTAL FEE(S) DUE shown above, or

B. If applicant claimed SMALL ENTITY status before, or is now claiming SMALL ENTITY status, check box 5a on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and 1/2 the ISSUE FEE shown above.

II. PART B - FEE(S) TRANSMITTAL, or its equivalent, must be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). If you are charging the fee(s) to your deposit account, section "4b" of Part B - Fee(s) Transmittal should be completed and an extra copy of the form should be submitted. If an equivalent of Part B is filed, a request to reapply a previously paid issue fee must be clearly made, and delays in processing may occur due to the difficulty in recognizing the paper as an equivalent of Part B.

III. All communications regarding this application must give the application number. Please direct all communications prior to issuance to Mail Stop ISSUE FEE unless advised to the contrary.

IMPORTANT REMINDER: Utility patents issuing on applications filed on or after Dec. 12, 1980 may require payment of maintenance fees. It is patentee's responsibility to ensure timely payment of maintenance fees when due.

PART B - FEE(S) TRANSMITTAL

**Complete and send this form, together with applicable fee(s), to: Mail Mail Stop ISSUE FEE
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450
or Fax (571)-273-2885**

INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Use Block 1 for any change of address)

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Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

Certificate of Mailing or Transmission

I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO (571) 273-2885, on the date indicated below.

(Depositor's name)
(Signature)
(Date)

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nonprovisional YES \$720 \$300 \$0 \$1020 06/09/2008

EXAMINER	ART UNIT	CLASS-SUBCLASS
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HOLMES, MICHAEL B 2129 706-020000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

- ☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.
- ☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. **Use of a Customer Number is required.**

2. For printing on the patent front page, list

- (1) the names of up to 3 registered patent attorneys or agents OR, alternatively, 1 _____
- (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed. 2 _____
- 3 _____

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE (B) RESIDENCE: (CITY and STATE OR COUNTRY)

Please check the appropriate assignee category or categories (will not be printed on the patent) : ☐ Individual ☐ Corporation or other private group entity ☐ Government

4a. The following fee(s) are submitted:

- ☐ Issue Fee
- ☐ Publication Fee (No small entity discount permitted)
- ☐ Advance Order - # of Copies _____

4b. Payment of Fee(s); (Please first reapply any previously paid issue fee shown above)

- ☐ A check is enclosed.
- ☐ Payment by credit card. Form PTO-2038 is attached.
- ☐ The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment, to Deposit Account Number _____ (enclose an extra copy of this form).

5. Change in Entity Status (from status indicated above)

- ☐ a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27. ☐ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

Authorized Signature _____

Date _____

Typed or printed name _____

Registration No. _____

This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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Determination of Patent Term Adjustment under 35 U.S.C. 154 (b) (application filed on or after May 29, 2000)

The Patent Term Adjustment to date is 641 day(s). If the issue fee is paid on the date that is three months after the mailing date of this notice and the patent issues on the Tuesday before the date that is 28 weeks (six and a half months) after the mailing date of this notice, the Patent Term Adjustment will be 641 day(s).

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) WEB site (<http://pair.uspto.gov>).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at 1-(888)-786-0101 or (571)-272-4200.

Notice of Allowability

Application No.

10/717,026

Applicant(s)

EDER, JEFF SCOTT

Examiner

Michael B. Holmes

Art Unit

2129

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to 12/02/2007.
2. ☒ The allowed claim(s) is/are 28-70.
3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some* c) ☐ None of the:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. ____.
3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).
- * Certified copies not received: ____.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.

THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
- (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
- 1) ☐ hereto or 2) ☐ to Paper No./Mail Date ____.
- (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date ____.
- Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).**
6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Attachment(s)

1. ☒ Notice of References Cited (PTO-892)
2. ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3. ☒ Information Disclosure Statements (PTO/SB/08),
Paper No./Mail Date 20070912/20070921/20070923
4. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material
5. ☐ Notice of Informal Patent Application
6. ☐ Interview Summary (PTO-413),
Paper No./Mail Date ____.
7. ☐ Examiner's Amendment/Comment
8. ☒ Examiner's Statement of Reasons for Allowance
9. ☐ Other ____.



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Examiner's Detailed Office Action

1. Claims 1-27 have been canceled.
2. Claims 28-70 are allowed.

REASONS FOR ALLOWANCE

3. The following is an Examiner's statement for reasons for allowance:
4. Claims 28-70 are considered allowable since when reading the claims in light of the specification i.e., none of the references of record alone or in combination disclose or suggest the combination of limitations specified in the independent claim(s).
5. The limitations recited in independent claim 28 “...a plurality of entity (as defined e.g., [0035] of the USPAP Pub. No.: US 2004/0225629 A1) related systems and databases, means for preparing data from said systems and databases for use in processing, means for developing a complete entity context (as defined e.g., [0078] of the USPAP Pub. No.: US 2004/0225629 A1) using at least a portion of said data, means for data and information storage, and means for complete entity context distribution where a complete entity context identifies each of the one or more aspects of a context that have a tangible effect on a behavior of an entity, where an enter-

prise entity has two or more entity function measures (as defined e.g., [0039] of the USPAP Pub. No.: US 2004/0225629 A1), and where a complete entity context includes different aspects of context selected from the group consisting element context, resource context, factor context, reference context, measure context, relationship context, transaction context, lexical context, temporal context and combinations thereof.”

6. The limitations recited in independent claim 37 “ ... aggregating data from a plurality of entity related systems, developing a complete entity context using at least a portion of said data where a complete entity context includes one or more different aspects of context selected from the group consisting element context, resource context, factor context, reference context, measure context, relationship context, transaction context, lexical context and combinations thereof and where a complete entity context identifies each of the one or more aspects of a context that have a tangible influence on a behavior of an entity, where an enterprise entity has two or more entity function measures, and using a complete entity context to support useful activities selected from the group consisting of completing one or more entity related actions in an optimal manner, identifying a valid context space for entity analyses, underwriting one or more entity related securities, displaying a plurality of performance information for one or more entity function measures, forecasting an entity behavior, forecasting an entity sustainability and combinations thereof where developing a complete entity context further comprises quantifying an impact of one or more other entities on each of one or more aspects of said complete context.”

7. The limitations recited in independent claim 46 “ ... aggregating data from a plurality of entity related systems, develop one or more entity contexts for an individual entity and for a group of individual entities using at least a portion of said data, identifying a combination of data

and information that is relevant to one or more layers of context for an entity selected from the group consisting of the individual entity, the group entity and combinations thereof using said entity contexts, and displaying the results in order of relevance where an entity context further comprises a relationship context layer and a plurality of context layers selected from the group consisting an element context layer, a resource context layer, a factor context layer, a reference context layer, a measure context layer, a transaction context layer, a lexical context layer and combinations thereof, and where an entity context identifies one or more aspects of a context that have a tangible effect on a behavior of an entity.”

8. The limitations recited in independent claim 51 “... aggregate data from a plurality of entity related systems, develop one or more entity contexts using at least a portion of said data where an entity context includes a reference context and one or more different aspects of context selected from the group consisting element context, resource context, factor context, measure context, relationship context, transaction context, lexical context and combinations thereof, and distribute one or more of the entity contexts in an automated fashion where an entity context identifies one or more aspects of a context that have a tangible influence on a behavior of an entity, where an entity context further comprises a quantified impact of one or more other entities on one or more aspects of said entity context, and where the computer readable medium further comprises a plurality of intelligent agents.”

9. The limitations recited in independent claim 54 “... aggregating data related to an entity in accordance with a common schema, analyzing at least a portion of said data as required to identify an entity context and one or more priorities for said entity given said context, identifying data, information and knowledge that is relevant to said entity context, and presenting at least

one of relevant data, relevant information or relevant knowledge after sorting said data, information or knowledge on the basis of entity context relevancy and priorities where an entity context identifies one or more aspects of a context that have a tangible impact on a behavior of an entity, and where data related to an entity are obtained from a world wide web and the group consisting of a plurality of entity related narrow system databases, one or more external databases, an intranet, a direct input and combinations thereof.”

10. The limitations recited in independent claim 60 “ ... aggregating data related to an entity in accordance with a common schema, analyzing at least a portion of said data as required to identify an entity context and one or more priorities for said entity given said context, identifying data, information and knowledge that is relevant to said entity context, and presenting at least one of relevant data, relevant information or relevant knowledge after sorting said data, information or knowledge on the basis of entity context relevancy and priorities where an entity context identifies one or more aspects of a context that have a tangible effect on a behavior of an entity, where identifying an entity context further comprises quantifying an impact of one or more other entities on each of one or more aspects of said context; and where an entity context further comprises a measure context and one or more aspects of context selected from the group consisting of resource context, factor context, element context, reference context, relationship context, transaction context, lexical context, temporal context and combinations thereof.”

11. The limitations recited in independent claim 66 “ ... (a) aggregate data related to an entity in format suitable for processing, (b) analyze at least a portion of said data as required to identify an entity context and one or more priorities for said entity given said context, (c) identify data, information and knowledge that is relevant to said entity context, and

(d) presenting at least one of relevant data, relevant information or relevant knowledge after it is sorted on the basis of entity context relevancy and priorities where an entity context identifies each of the one or more aspects of a context that have a tangible impact on a behavior of an entity, where one or more priorities for the entity are identified by said entity, and where an entity context further comprises a factor context and one or more aspects of context selected from the group consisting of measure context, resource context, reference context, element context, relationship context, transaction context, lexical context, temporal context and combinations thereof where a measure context further identifies and quantifies an impact of actions, events, elements, factors and resources on each of a plurality of entity function measures by time period.”

12. The limitations recited in independent claim 70 “ ... preparing a plurality of entity related data for use in processing, analyzing at least a portion of said data as required to develop an entity knowledge, and using said knowledge to complete useful activities selected from the group consisting of identifying the data, information and knowledge that is most relevant to the entity, identifying entity preferences, loading the data and information that is most relevant to the entity into a cache, optimize information technology support of entity performance, providing a true natural language interface for entity related software and combinations thereof where an entity knowledge further comprises a model of entity behavior that supports the identification of an optimal set of actions for a given context.”

13. When taken in context the claim(s) as a whole, were not uncovered in the prior art i.e., the dependent claims 29-36, 38-45, 47-50, 52, 53, 55-59, 61-65 & 67-69 are allowed as they depend upon an allowable independent claim(s).

14. Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments regarding Statement of Reasons for Allowance."

Correspondence Information

15. Any inquiries concerning this communication or earlier communications from the examiner should be directed to Michael B. Holmes, who may be reached Monday through Friday, between 8:00 a.m. and 5:00 p.m. EST. or via telephone at (571) 272-3686 or facsimile transmission (571) 273-3686 or email michael.holmesb@uspto.gov.

If you need to send an Official facsimile transmission, please send it to (571) 273-8300.

If attempts to reach the examiner are unsuccessful the Examiner's Supervisor, David Vincent, may be reached at (571) 272-3080.

Hand-delivered responses should be delivered to the Receptionist @ (Customer Service Window Randolph Building 401 Dulany Street Alexandria, VA 22313), located on the first floor of the south side of the Randolph Building.

Finally, information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Moreover, status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have any questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) toll-free @ 1-866-217-9197.

Michael B. Holmes
Primary Examiner
Artificial Intelligence
Art Unit 2129
United States Department of Commerce
Patent & Trademark Office

Tuesday, February 26, 2008

*/Michael B. Holmes/
Primary Examiner, Art Unit 2129*